

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	<b>CLASSIFICATION</b> UI
	<b>CORRESPONDENCE SYMBOL</b> OWS/DPM
	<b>DATE</b> March 4, 2009

**ADVISORY:** UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 15-09

**TO:** STATE WORKFORCE AGENCIES

**FROM:** DOUGLAS F. SMALL /s/  
Deputy Assistant Secretary

**SUBJECT:** Proposed Changes to Employment and Training (ET) Handbook 336, 18<sup>th</sup> Edition: "Unemployment Insurance (UI) State Quality Service Plan Planning (SQSP) and Reporting Guidelines"

1. **Purpose.** To provide an opportunity for comment on proposed changes to the Assurance of Disaster Recovery Capability and the Assurance of Automated Information Systems Security sections within ET Handbook 336.
2. **References.** ET Handbook No. 336, 18<sup>th</sup> Edition, "UI SQSP and Reporting Guidelines".
3. **Background.** In FY 2008, the Office of Inspector General (OIG) conducted an audit to determine if the Employment & Training Administration (ETA) provides sufficient oversight of the State Workforce Agencies' (SWAs) Information Technology (IT) contingency planning for the UI program in order to minimize service disruption in the event of a disaster or other situations that may disrupt normal operations. The summary of findings of this OIG audit (OIG Report No. 23-08-004-03-315 issued on September 29, 2008) include: (1) SWAs lack IT contingency plans that can ensure adequate disaster-response capability; (2) ETA has not fully carried out its leadership responsibilities in providing oversight and targeted guidance to the SWAs regarding expectations of an IT disaster-recovery capability.
4. **Additional Guidance.** In response to the audit findings, ETA is providing specific guidance on the requirements of IT security necessary for a viable SWA IT system security program.

This guidance is incorporated in the following areas of the SQSP:

- Chapter I, Section VII-H, "Assurance of Contingency Planning", pages I-19 – 20. The title of this assurance is changed from "Disaster Recovery Capability" to "Contingency Planning Capability", since Contingency Planning means to prepare for any uncertain future disruptions, including disasters. The assurance provides guidelines for UI Contingency Planning controls.

<b>RESCISSIONS</b> None	<b>EXPIRATION DATE</b> March 4, 2010
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- Chapter I, Section VII-J, "Assurance of Automated Information Systems Security", pages I-20 – 21. The assurance is modified to provide guidelines for having adequate UI information security controls.
- Appendix I, "Planning Forms and Formats". The State Plan Narrative Outline, Section H, "Assurances" is modified for SWAs to provide the dates when their IT Contingency Plan, System Security Plan, and Risk Assessment were implemented, tested, and reviewed/updated.
- Appendix IV, "Information Technology Security Guide". This new appendix provides overview on IT Contingency Planning, Risk Assessment, and System Security Planning security controls.

5. **Action Required.** SWA administrators are requested to review the recommended changes and within 45 days of receiving this advisory, provide any comments electronically to [patel.jagruti@dol.gov](mailto:patel.jagruti@dol.gov) or by mail to the attention of:

U.S. Department of Labor  
Office of Workforce Security  
Division of Performance Management  
200 Constitution Avenue, NW  
Washington, DC 20210  
Attention: Jagruti Patel, Room S-4231

Please be aware that all mail sent via United States Postal Service is irradiated which can delay receipt of comments.

6. **Inquiries.** All inquiries should be directed to the appropriate Regional Office.
7. **Attachments.** ET Handbook 336, 18<sup>th</sup> Edition, Chapter I  
Appendix I: Planning Forms and Formats  
Appendix IV: Information Technology Security Guidelines